SECTION 1

WATER QUALITY ASSESSMENTS UNDER SECTION 305(b)

This section describes the basic components of a water quality assessment including degree of use support, causes (pollutants and other stressors), and sources of impairment. It also explains several concepts that may have resulted in inconsistencies in the past, such as the fully supporting but threatened category, presumed assessments, and natural sources.

1.1 What is an Assessment?

In setting their water quality standards, States assign one or more designated uses to each individual waterbody. Designated uses are beneficial uses that States want their waters to support. Examples are aquatic life support, fish consumption, swimming, and drinking water supply. Under Section 305(b), assessment of an individual waterbody (e.g., a stream segment or lake) means analyzing biological, habitat, physical/chemical, and/or toxicity data and other information to determine

- C The degree of designated use support of the waterbody (fully supporting, fully supporting but threatened, partially supporting, or not supporting)
- C If designated uses are impaired, the causes (pollutants or other stressors) and sources of the problem
- C Degree of achievement of biological integrity using State biological criteria or other measures.
- C Descriptive information such as the type and quality of data used in the assessment.

Figure 1-1 illustrates how monitoring, assessment, and reporting are related for an individual waterbody. Figure 1-2 shows actual assessment results for a waterbody.

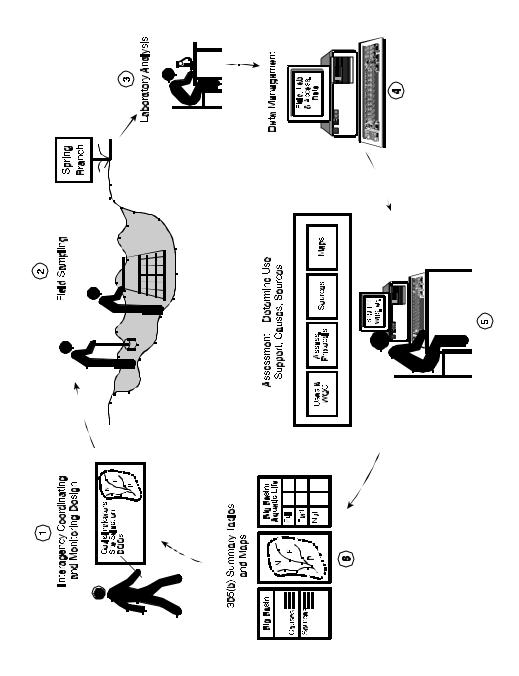


Figure 1-1. Monitoring, assessment and 305(b) reporting as an interrelated process

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Figure 1-2. Waterbody System printout summarizing assessment results for a waterbody

1.2 Degree of Use Support

Each designated use has its own requirements for a finding of fully supporting, fully supporting but threatened, partially supporting, or not supporting. Section 3 of this *Guidelines Supplement* gives EPA's detailed recommendations for determining the degree of use support for various designated uses.

Throughout these *Guidelines*, the term "impairment" means either partially supporting or not supporting a designated use.

The category "fully supporting but threatened" requires further explanation. A waterbody is fully supporting but threatened for a particular designated use when it fully supports that use now but may not in the future unless pollution prevention or control action is taken because of anticipated sources or adverse pollution trends. Such waters are treated as a separate category from waters fully supporting uses. States should use this category to describe waters for which actual monitoring or evaluative data indicate an apparent declining water quality trend (i.e., water quality conditions have deteriorated, compared to earlier assessments, but the waters still support uses). States may also choose to include waters for which monitoring or evaluative data indicate potential water quality problems requiring additional data or verification.

Fully supporting but threatened is not appropriate during temporary impairment of designated uses (e.g., due to a construction project in a watershed). The threatened category may be appropriate prior to anticipated impairment, but while actual impairment is occurring, partial support or nonsupport should be reported.

Summarizing Assessment Results in the Report to Congress

EPA uses the following descriptive terms in graphical presentations of degree of designated use support:

Good Water Quality = Fully Supporting or Fully Supporting but Threatened

Fair Water Quality = Partially Supporting
Poor Water Quality = Not Supporting

Note: Impaired means Partially Supporting or Not Supporting (Fair or Poor)

1.3 Types of Assessment Information

Each State reports assessments of those waterbodies for which use support decisions can be based on reliable water quality information. Such assessments are not limited to waters that have been directly monitored -- it is appropriate in many cases to make judgments based on other information (see Section 1.4). Waterbodies assessed prior to the current reporting period can be included in 305(b) reports if the State has the technical basis to conclude that the assessment results are still valid. It is not appropriate, however, to claim that waterbodies are fully supporting uses by default in the absence of sufficient information to make an assessment (see also Section 1.5).

If statistical survey (probability) designs are used, the results can be reported relative to the entire resource (e.g., headwater streams in an ecoregion), not just those waterbodies actually monitored.

Table 1-1 lists categories of information for assessments. These Assessment Type Codes are from the EPA Waterbody System (WBS). They provide a wealth of information about the basis for individual assessments.

Assessment Database Managers—For 1997 and beyond, EPA is strongly encouraging the use of Assessment Type Codes in WBS and other State assessment data systems. They are important data elements for annual electronic updates (see Section 6 of the main *Guidelines* volume).



1.4 Monitored and Evaluated Waters

EPA asks the States to distinguish between assessments based on monitoring and assessments based on other information.

C "Evaluated waters" are those waterbodies for which the use support decision is based on information other than current site-specific ambient data, such as data on land use, location of sources, predictive modeling using estimated input variables, and some questionnaire surveys of fish and game biologists. As a general guide, if an assessment is based on older ambient data (e.g., older than five years), the State should also consider it "evaluated."

Table 1-1. Assessment Type Codes from the Waterbody System

100	Qualitative (evaluated) assessmentunspecified ^a
110	Information from local residents
120	Surveys of fish and game biologists/other professionals
130	Land use information and location of sources
140	Incidence of spills, fish kills, or abnormalities
150	Monitoring data that are more than 5 years old
175	Occurrence of conditions judged to cause impairment (e.g., channelization, dredging, severe bank erosion)
180	Screening models (desktop models; models are not calibrated or verified)
190	Biological/habitat data extrapolated from upstream or downstream waterbody
191	Physical/chemical data extrapolated from upstream or downstream waterbody
200	Physical/chemical monitoring ^b
210	Fixed-station physical/chemical monitoring, conventional pollutants only
211	Highest quality fixed-station physical/chemical monitoring, conventional pollutants;
	frequency and coverage sufficient to capture acute and chronic events, key periods, high
	and low flows
220	Non-fixed-station physical/chemical monitoring, conventional pollutants only
222	Non-fixed-station monitoring, conventional, during key seasons and flows
230	Fixed-station physical/chemical monitoring, conventional plus toxic pollutants
231	Highest quality fixed-station physical/chemical monitoring, conventional plus toxicants; frequency and coverage sufficient to capture acute and chronic events, key periods, high and low flows
240	Non-fixed-station physical/chemical monitoring, conventional plus toxic pollutants
242	Non-fixed-station physical/chemical monitoring, conventional plus toxicants, during key seasons and flows
250	Chemical monitoring of sediments
260	Fish tissue analysis
270	Community water supply chemical monitoring (ambient water)
275	Community water supply chemical monitoring (finished water)
300	Biological monitoring ^b
310	Ecological/habitat surveys
315	Regional reference site approach
320	Benthic macroinvertebrate surveys
321	RBP III or equivalent benthos surveys
322	RBP I or II or equivalent benthos surveys
330	Fish surveys
331	RBP V or equivalent fish surveys
340	Primary producer surveys (phytoplankton, periphyton, and/or macrophyton)
350	Fixed-station biological monitoring

Table 1-1 (continued)

360	Habitat assessment
365	Visual observation, usually at road crossings; professional not required
370	Visual observation, use of land use maps, reference conditions, professional not required
375	Visual observation, may quantify some parameters; single season typically; by professional
380	Quantitative measurements of instream parameters, channel morphology, floodplain; one
300	or two seasons; by professional
400	Pathogen monitoring ^b
410	Shellfish surveys
420	Water column surveys (e.g., fecal coliform)
430	Sediment analysis
440	Community water supply pathogen monitoring (ambient water)
450	Community water supply pathogen monitoring (finished water)
500	Toxicity testing ^b
510	Effluent toxicity testing, acute
520	Effluent toxicity testing, chronic
530	Ambient toxicity testing, acute
540	Ambient toxicity testing, chronic
550	Toxicity testing of sediments
600	Modeling ^c
610	Calibrated models (calibration data are less than five years old)
700	Integrated intensive survey ^b (field work exceeds one 24-hour period and multiple media are sampled)
710	Combined sampling of water column, sediment, and biota for chemical analysis
720	Biosurveys of multiple taxonomic groups (e.g., fish, invertebrates, algae)
Asses	sments Based on Data from Other Sources
800	Assessments based on data from other sources ^c
810	Chemical/physical monitoring data by quality-assured volunteer program
820	Benthic macroinvertebrate surveys by quality-assured volunteer program
830	Bacteriological water column sampling by quality-assured volunteer program
840	Discharger self-monitoring data (effluent)
850	Discharger self-monitoring data (ambient)
860	Monitoring data collected by other agencies or organizations (use the assessment comment field to list other agencies)
870	Drinking water supply closures or advisories (source-water quality based)

Table 1-1 (continued)

Discrepancy in Aquatic Life Assessment Results^d

Discrepancy in Aquatic Life Assessment Results 900 Discrepancy among different data types; aquatic life assessment is based on 910 physical/chemical data Discrepancy among different data types; aquatic life assessment is based on biological 920 data 925 Discrepancy among different data types; aquatic life assessment is based on habitat data 930 Discrepancy among different data types; aquatic life assessment is based on toxicity testing data 940 Discrepancy among different data types; aquatic life assessment is based on qualitative (evaluated) assessment data

[Note: New codes have been added to include information types in Tables 3-2 and 3-3.]

- ^a Generally considered to be evaluated assessment types.
- ^b Generally considered to be monitored assessment types.
- ^c Considered to be monitored or evaluated assessment types depending on data quality and State assessment protocols.
- d States are requested to use these codes to identify cases when biological, habitat, toxicity, and/or physical/chemical data show different assessment results.

C "Monitored waters" are those waterbodies for which the use support decision is principally based on current, site-specific, ambient monitoring data believed to accurately portray water quality conditions. Waters with data from biosurveys should be included in this category along with waters monitored by fixed-station chemical/physical monitoring or toxicity testing. To be considered "monitored" based on fixed-station chemical/physical monitoring, waters generally should be sampled quarterly or more frequently. For specifics on biological monitoring, see Section 3.

States may use some flexibility in applying these guidelines. For example:

- C For the 800 series of codes in Table 1-1, if State-approved quality assurance/quality control procedures have been applied to volunteer monitoring programs, waters sampled under these programs could be considered monitored. However, a State may use its discretion in making an Assessment Category determination of evaluated vs. monitored. The State may wish to conduct a comparison to determine the sensitivity or power of the volunteer method compared to the State's methods (e.g., volunteer data may prove more useful for identifying severe impacts than for determining full support). Note: EPA has developed *The Volunteer Monitor's Guide to Quality Assurance Project Plans*. To obtain a copy, contact the Monitoring Branch at (202) 260-7018.
- If older ambient data exist for high-quality waters located in remote areas with no known pollutant sources, and if those data are believed to accurately portray water quality conditions, those waters could be considered monitored.

EPA and States have been working together to better define the kinds of data upon which assessment decisions are made. See Tables 3-1 through 3-4.

1.5 Presumed Assessments

The 305(b) Consistency Workgroup determined that presumed assessments are unacceptable. Examples of presumed assessments are

- C Assuming that waterbodies are fully supporting by default unless there is information to the contrary
- C Extrapolating assessments from one waterbody or watershed to others unless they have very similar characteristics

C Extrapolating the "percentage of assessed stream miles that are fully supporting" to all streams in the State without adequate scientific basis such as probability-based monitoring design.

Note: If waterbodies are monitored using survey designs, results can be extrapolated.

EPA encourages States to report on all waters for which there is a reasonable technical basis for evaluation. A reasonable basis could include a judgment that a stream is not supporting uses based on channelization, a highly disturbed watershed, or data from nearby streams with similar characteristics.

In addition, EPA recommends that data from a single monitoring station not be used to generate a monitored assessment of an entire watershed. Rather, a monitoring station can be considered representative of a waterbody for that distance upstream and/or downstream in which there are no significant influences to the waterbody that might tend to change water quality within the zone represented by the monitoring station. See Section 2.1.

1.6 Causes of Impairment (Pollutants and Other Stressors)

Causes of impairment are those pollutants and other stressors that contribute to the impairment of designated uses in a waterbody. In the remainder of these *Guidelines* the term "cause/stressor" is used. Table 1-2 lists cause/stressor codes from the WBS. States can also add their own codes to WBS to track additional causes. At the States' request, EPA has added new subcategories under Code 0500 and Code 0900 to track specific metals and nutrients.

How to Avoid Double-counting of Causes/Stressors

WBS Users—If you use the new subcategories for metals/nutrients or add cause/stressor codes to WBS, you must enter a total size for each major category of causes/stressors (the **bold categories** in Table 1-2; e.g., **0500--Metals or 0200-- Pesticides**) for each waterbody. This is necessary because there may be overlap among the subcategories of causes/stressors.

Non-WBS Users—Like WBS, most customized waterbody-level databases must also track a total size for each major category of causes/stressors (the **bold categories** in Table 1-2) in order to avoid overlap among subcategories.

Table 1-2. Cause/Stressor Codes from the Waterbody System

0000	Cause Unknown	1000	рН
0100	Unknown Toxicity	1100	Siltation
0200	Pesticides	1200	Organic
0300	Priority Organics		Enrichment\Low
0400	Nonpriority Organics		Dissolved Oxygen
0410	PCBs	1300	Salinity/Total Dissolved
0420	Dioxins		Solids/Chlorides/Sulfates
0500	Metals	1400	Thermal Modifications
	0510 Arsenic	1500	Flow Alterations
	0520 Cadmium	1600	Habitat Alterations (other
	0530 Copper		than flow)
	0540 Chromium	1700	Pathogens
	0550 Lead	1800	Radiation
	0560 Mercury	1900	Oil and Grease
	0570 Selenium	2000	Taste and Odor
	0580 Zinc	2100	Suspended Solids
0600	Ammonia (un-ionized)	2200	Noxious Aquatic Plants
0700	Chlorine		(native macrophytes) ^a
0720	Cyanide	2210	Excessive Algal Growth/
0750	Sulfates		Chlorophyll a
0800	Other Inorganics	2400	Total Toxics
0900	Nutrients	2500	Turbidity
	0910 Phosphorus	2600	Exotic Species
	0920 Nitrogen		
	0990 Other		

NOTES: In addition to the above, WBS users can enter their own customized cause codes. See WBS Users Guide.

Codes 0200 through 0800 are toxicants for purposes of WBS reports.

Filling and draining is considered a source (Source Code 7800) and no longer appears in the above table.

Bold type indicates a major cause category; regular type indicates a subcategory.

^aNon-native plants should be handled under Category 2600.

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In Table 1-2, bold type indicates a major cause/stressor category and regular type indicates a subcategory. See the highlight box entitled "How to Avoid Double-counting of Causes/Stressors" regarding the importance of storing size data for major cause/stressor categories, not just subcategories.

1.7 Sources of Impairment

Sources are the activities, facilities, or conditions that contribute pollutants or stressors resulting in impairment of designated uses in a waterbody. Table 1-3 lists source codes from the WBS. States can also add their own source codes to the WBS. Appendix G provides definitions of selected source categories.

In Table 1-3, bold type indicates a major source category and regular type indicates a subcategory of that major category. See the highlight box entitled "How to Avoid Double-counting of Sources" regarding the importance of storing size data for all applicable major source categories, not just subcategories.

Determining the sources of designated use impairment can be a difficult process. Ambient monitoring data can give good evidence of the causes of impairment. In some cases, field observations can provide information on obvious, nearby problems; e.g., land use, substrate, and habitat may provide a basis for identifying sources. This is especially the case for "hydromodification" sources.

In most cases, additional information is needed--watershed land use inventories, records of permit compliance, locations of areas with highly erodible soils, areas with poor best management practice (BMP) implementation, measurements of in-place contaminants, or loadings from atmospheric transport or ground water.

Assessment Database Managers—Agriculture is the only source category with three tiers of codes (see Table 1-3). EPA asks States to track size data for the "1000—Agriculture" code and at least the next tier ("1050—Crop-related Sources", etc.)



Table 1-3. Source Categories (with National Codes from the Waterbody System)

2300 Logging Road Construction/Maintenance			
0110 Major Industrial Point Sources 0120 Minor Industrial Point Sources 0210 Major Municipal Point Sources—dry and/or wet weather discharges 0211 Major Municipal Point Sources—dry weather discharges* 0212 Major Municipal Point Sources—dry weather discharges* 0213 Minor Municipal Point Sources—dry and/or wet weather discharges* 0220 Minor Municipal Point Sources—dry weather discharges 0222 Minor Municipal Point Sources—dry weather discharges* 0224 Minor Municipal Point Sources—wet weather discharges* 0230 Package Plants (Small Flows) 0400 Combined Sewer Overflow 0500 Collection System Failure* 0900 Domestic Wastewater Lagoon 1000 Agriculture** 1100 Nonirrigated Crop Production 1200 Irrigated Crop Production 1300 Specialty Crop Production 1300 Specialty Crop Production (e.g., horticulture, citrus, nuts, fruits) 1350 Grazing-related Sources* 1400 Pasture Grazing—Riparian and/or Upland 1410 Pasture Grazing—Riparian* 1420 Pasture Grazing—Riparian* 1500 Range Grazing—Riparian* 1500 Range Grazing—Riparian* 1500 Range Grazing—Riparian* 1520 Range Grazing—Riparian* 1520 Concentrated Animal Feeding Operations (CAFOs; permitted, PS) 1640 Confined Animal Feeding Operations (NPS) 1700 Aquaculture 2000 Silviculture 2100 Harvesting, Restoration, Residue Management 2200 Forest Management (e.g., pumped drainage, fertilization, pesticide applicati	0100	Industr	rial Point Sources
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		2400	Silvicultural Point Sources

Table 1-3 (continued)

3000	Constr	uction
3000	3100	Highway/Road/Bridge Construction
	3200	Land Development
4000	Urban 4100 4200 4300	Runoff/Storm Sewers Nonindustrial Permitted Industrial Permitted Other Urban Runoff
	4400 4500 4600	Illicit connections/illegal hook-ups/dry weather flows* Highway/Road/Bridge Runoff* Erosion and Sedimentation*
5000	Resour 5100 5200 5300 5400 5500 5600 5700 5800 5900 5950	3
6000	6200	isposal Sludge Wastewater Landfills Inappropriate Waste Disposal/Wildcat Dumping* Industrial Land Treatment Onsite Wastewater Systems (Septic Tanks) Hazardous Waste Septage Disposal
7000	Hydron 7100 7200 7300 7350 7400	nodification Channelization Dredging Dam Construction Upstream Impoundment Flow Regulations/Modification

Table 1-3 (continued)

7550	Habitat Modification (other than Hydromodification) 7600 Removal of Riparian Vegetation 7700 Bank or Shoreline Modification/Destabilization 7800 Drainage/Filling of Wetlands				
7900	Marinas and Recreational Boating*				
	7910 In-water releases*				
	7920 On-land releases*				
8050	Erosion from derelict land*				
8100	Atmospheric Deposition				
8200	Waste Storage/Storage Tank Leaks (above ground)				
8250	Leaking underground storage tanks*				
8300	Highway Maintenance and Runoff				
8400	Spills (Accidental)				
8500	Contaminated Sediments				
8520	Debris and bottom deposits*				
8530	Internal nutrient cycling (primarily lakes)*				
8540	Sediment resuspension*				
8600	Natural Sources				
8700	Recreation and Tourism Activities (other than Boating; see 7900)				
	8710 Golf courses*				
8900	Salt Storage Sites				
8910	Groundwater Loadings				
8920	Groundwater Withdrawal				
8950 9000	Other Unknown Source				
9050	Sources outside State Jurisdiction or Borders*				
7030	Journey outside State Jurisdiction of Dolders				

Notes:

Bold type indicates a major source category; regular type indicates a subcategory. In addition to the above codes, WBS users can enter their own customized source codes. Code 8000 for "Other" has been deleted because it resulted in significant loss of detail nationwide.

See Appendix G for definitions of selected source categories.

- * Codes changed or added since 1996 Guidelines.
- ** Agriculture is the only major source category with three tiers of codes (such as codes 1000, 1050, and 1100). EPA asks States to report size data for the "1000—Agriculture" code plus one or both of the other two tiers.

How to Avoid Double-Counting of Sources

WBS Users—WBS can be used to generate the 305(b) summary report, "Total Sizes of Waters Impaired by Various Source Categories." However, to use the WBS to generate this table, enter a total size for each major category of sources (i.e., the bold categories in Table 1-3 such as 1000--Agriculture and 2000--Silviculture). This is necessary because there may be overlap among the subcategories of sources.

Non-WBS Users—Your customized database must also track major source categories (the **bold categories** in Table 1-3) at the waterbody level.

A modeling framework can be helpful, especially where a variety of sources could be involved. Even a simple annual average export-coefficient screening model can help determine if particular source categories are significant contributors to impairment. A well-rounded assessment process, therefore, might involve monitoring, an inventory of land uses and point source contributions for a watershed, and, where appropriate, a screening-level model to rank and prioritize the relative impacts of different source categories.

Appendix H lists types of information that can be used to determine sources of water quality impairment.

Natural Sources

The Natural Sources category should be reserved for waterbodies impaired due to naturally occurring conditions (i.e., not caused by, or otherwise related to, past or present human activity) or due to catastrophic conditions. In the past, some States have used natural sources as a catch-all category for unknown sources. This gives an inaccurate picture of the extent of natural sources at both State and national levels. States should use the natural sources category only for clearly defined cases, including:

- C Saline water due to natural mineral salt deposits
- C Metals due to naturally occurring deposits
- C Low dissolved oxygen (DO) or pH caused by poor aeration or natural organic materials, where no human-related sources are present or where impairment would occur even in the absence of human activity

- C Excessive siltation due to glacial till or turbidity due to glacial flour, where such siltation is not caused by human activity or where impairment would occur even in the absence of human activity
- C Habitat loss or pollutant loads due to catastrophic floods that are excluded from water quality standards or other regulations
- C High temperature, low DO, or high concentrations of pollutants due to catastrophic droughts with flows less than design flows in water quality standards.

The Natural Sources category does **not** include, for example, low flows due to diversions resulting in low DO; drainage from abandoned mines resulting in low pH; stormwater runoff resulting in habitat destruction, high temperatures, or other impacts except under catastrophic conditions; or atmospheric deposition of heavy metals where human-induced emissions are a factor.

In many cases, State water quality standards already take into account natural conditions (e.g., a "fish and wildlife/swamp waters" classification in the Southeast where naturally-occurring low DO is allowed). In such cases, the waterbody is not reported as impaired. In other cases where standards do not allow for natural conditions, impairment by a natural source may still be beyond a State's capability to correct for technical or economic reasons. A use attainability analysis (UAA) should be done to determine if designated uses are attainable or if other uses are more appropriate for a waterbody. Regional Water Quality Standards Coordinators can provide information on conducting UAAs. In the absence of a UAA, EPA recognizes that States should report impairment due to natural sources even in cases where standards could be overly restrictive or in need of revision.

1.8 Cause/Source Linkage

States are requested to link causes/stressors with sources for waterbodies in their assessment databases where possible. A special cause/source link field is provided in WBS for this purpose. Linked cause/source data are important for answering State resource management questions. For example, the question "Which waterbodies are impaired due to nutrients from agricultural runoff?" cannot be answered if the cause/source link is not used.

The following chart illustrates what happens when causes and sources are not linked. Although valuable information is stored, one cannot tell which sources are associated with which pollutants or stressors:

Causes and Sources Not Linked

Waterbody	Causes (pollutants/stressors)	Sources (not linked with causes)
WBID = XX-012 Mill Creek above Brook Branch	Nutrients, siltation, thermal modification	Urban runoff, removal of riparian vegetation, municipal point sources

The following chart shows how the same causes and sources can be associated with each other using the WBS link variable:

Causes and Sources Linked

Waterbody	Causes (pollutants/stressors)	Sources (linked with causes)	
WBID = XX-012	Nutrients	Urban runoff	
Mill Creek above Brook Branch	Nutrients	Municipal point sources	
	Siltation	Removal of riparian vegetation	
	Thermal modification	Urban runoff	
	Thermal modification	Removal of riparian vegetation	

For help in accomplishing this link, WBS users and non-WBS users are urged to contact WBS Technical Support at the number on page ii for more information.

1.9 Major/Moderate/Minor Contribution to Impairment

Section 4 of the main *Guidelines* volume requests determination of the relative contribution to impairment of causes and sources of pollution.

The definitions of major/moderate/minor contributions in these *Guidelines* now reflect the severity of impairment rather than the number of sources contributing. The 1994 definitions, for example, required that a source be labeled "major" if it is the only source of impairment on a waterbody, regardless of the severity of impairment. The current definitions are:

C Major contribution: A cause/stressor or source makes a major contribution to impairment if it is the only one responsible for nonsupport of any designated use or it predominates over other causes/sources.

- C Moderate contribution: A cause/stressor or source is the only one responsible for partial support of any use, predominates over other causes/sources of partial support, or is one of multiple causes/sources of nonsupport that have a significant impact on designated use attainment.
- C Minor contribution: A cause/source is one of multiple causes/sources responsible for nonsupport or partial support and is judged to contribute relatively little to this nonattainment.

The major/moderate/minor designations are difficult to quantify and will continue to reflect the best professional judgment of the data analyst. For example, multiple minor causes/stressors or sources or multiple moderate causes/sources could be interpreted to add up to nonsupport. States are asked to clarify how they use magnitude codes in their annual electronic reporting data dictionaries.